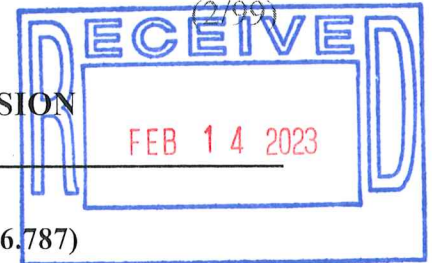


KENTUCKY LEGISLATIVE ETHICS COMMISSION



STATEMENT OF FINANCIAL DISCLOSURE (KRS 6.787)

To be filed by: All members of the General Assembly, all candidates and nominees for election to the General Assembly, and major management personnel in the legislative branch of state government.

Please Include The Following Information For The Preceding Calendar Year:

Name: Karen Berg

Business address: 702 Capital Avenue, Annex Room 255 Frankfort Kentucky 40601

Business telephone: 502-564-8100

Home address: 608 Jarvis Lane Louisville Kentucky 40207

Title of public position, or office sought: State Senator, District 26

Other occupations of filer: MD - University of Louisville, School of Medicine, Dept. of Diagnostic Radiology

Occupation of spouse: N/A

NOTE: The Following Sections Do Not Require Disclosure Of Specific Dollar Amounts.

Positions held by filer in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation:

None

Positions held by filer's spouse in any business, partnership, corporation for profit, or corporation not for profit from which the filer's spouse receives compensation, and the name of the business, partnership, or corporation:

N/A

Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of \$10,000 at fair market value, or 5% ownership interest or more:

See attached

Sources and form of gross income of the filer (list sources by name):

University of Louisville Physicians
Legislative Research Commission

Sources and form of gross income of the filer's spouse (list sources by name):

N/A

Positions of a fiduciary nature in a business:

None

A designation as commercial, residential, or rural, and the location of all real property other than the filer's primary residence, in which there is an interest of \$10,000 or more held by the filer, filer's spouse, or filer's minor children:

3609 Brownsboro Road #10, Louisville, KY 40207
1237 Hillsboro Mile #609, Hillsboro Beach, FL 33062
(both residential)

Sources of gifts of money or property with a retail value of more than \$200 to the filer or the filer's immediate family, except those from a member of the filer's family. (Family means spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild. Immediate family means unemancipated child residing in an individual's household, spouse, or a person claimed by the filer's spouse as a dependent for tax purposes.):

None

The name of any creditor owed more than \$10,000 **except** debts arising from the purchase of consumer goods. (Goods used or bought for use primarily for personal, family, or household purposes):

UBS Mortgage

The name of any legislative agent who is:

1. A member of the filer's immediate family;
2. A partner of the filer, or a partner of a member of the filer's immediate family;
3. An officer or director of the filer's employer;
4. An employer of the filer or an employer of a member of the filer's immediate family;
5. A business associate of the filer or a business associate of a member of the filer's immediate family

None

The names of the filer's clients who are legislative agents or employers:

N/A

If you have held a professional license during the filing period, has a properly licensed partner of yours engaged in the practice of cases or other matters which you are prohibited from practicing under KRS 6.744? : Yes No ☒ Not Applicable

If yes, list the names of the clients represented and list the agencies before which the partner made an appearance. The filer need not identify which client was represented

before a specific agency:

Clients

N/A

State Agency

N/A

NOTICES

1. Upon receipt by the Commission, a statement of financial disclosure shall be a public record available for copying.
2. Any person who fails to file a statement of financial disclosure or who fails to remedy a deficiency identified by the Commission in a timely manner may be fined an amount not to exceed \$100 per day up to a maximum total fine of \$1000.
3. Any person who files a statement of financial interests which they know to contain false information, or to omit required information, shall be guilty of a class A misdemeanor.

2/14/2023

Date

Karen Berg

Filer

Send completed statements to: The Kentucky Legislative Ethics Commission
22 Mill Creek Park
Frankfort, Kentucky 40601
FAX (502) 573-2929

If you have questions please call us at (502) 573-2863.



UBS Financial Services Inc.
500 N. Hurstbourne Pkwy
Suite 300
Louisville, Kentucky 40222
Toll Free 866.260.6314

Mark R. Switow
Tel. 502.420.7671
Fax 855-212-9567
mark.switow@ubs.com

www.ubs.com

February 7, 2023

Karen Berg
608 Jarvis Lane
Louisville, KY 40207

Re: Assets over \$10k

Per your request below are the positions you held in 2022 with a fair market value over \$10k.

Income - US
ALL SPRING CORE BOND FUND INSTITUTIONAL
ALLSPRING SHORT-TERM HIGH INCOME FUND CLASS INST
COLUMBIA MORTGAGE OPPORTUNITIES FUND CLASS INSTITUTIONAL
GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL
JP MORGAN SHORT DURATION BOND FUND CLASS I
MORGAN STANLEY FINANCE MLN COMMODITY BASKET 07/19/2024
VANGUARD SHORT-TERM INFLATION PROTECTED SEC INDEX FD ETF
VICTORY HIGH YIELD FUND CLASS Y
WISDOMTREE FLOATING RATE TREASURY ETF
Income - Global
BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIOINSTITUTIONAL
Equity - US
ABBOTT LABS
ABBVIE INC COM



ACCENTURE PLC IRELAND CL A
ADOBE INC. (DELEWARE)
ADVANCED MICRO DEVICES INC.
AFLAC INC
AKAMAI TECHNOLOGIES INC
ALLSTATE CORP
AMER ELECTRIC POWER CO
AMERIPRISE FINANCIAL INC
AMGEN INC
ANALOG DEVICES INC
APPLE INC
AUTOMATIC DATA PROCESSNG INC
BANK OF NOVIA SCOTIA TA- CYN SPX 12/10/2027
BANK OZK
BIO RAD LABORATORIES INC CL A
BLACKROCK INC
BOFA FINANCE LLC L/O TA- CYN INDU RTY 08/17/2027
BOFA FINANCE LLC L/O TA- CYN IWN SPY 09/19/2024
BROADCOM INC
CADENCE DESIGN SYSTEM
CANADIAN IMPERAL BANK TA-CYN SPX 12/05/2023
CHEVRON CORP
CISCO SYSTEMS INC
COCA COLA CO COM
COLUMBIA LARGE CAP GROWTH FUND CLASS INSTITUTIONAL
CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF
COSTCO WHOLESALE CORP
DAVIS SELECT US EQUITY ETF
DEERE AND CO
DISCOVER FINANCIAL SERVICES
DOLLAR TREE INC
EOG RESOURCES INC

EXXON MOBIL CORP
HEALTH CARE SELECT SECTOR SPDR FUND ETF
HOME DEPOT INC
HONEYWELL INTL INC
INTEL CORP
INTL BUSINESS MACH
JOHNSON & JOHNSON COM
JPMORGAN CHASE & CO
LILLY ELI & CO
MARSH & MCLENNAN COS INC
MCDONALDS CORP
MERCK & CO INC COM
MICROSOFT CORP
MONDELEZ INTL INC
MONTROSE ENVIRONMENTAL GROUP
MORGAN STANLEY
MSA SAFETY INC COM
NEXTERA ENERGY INC COM
NIKE INC CL B
ORACLE CORP
PAYPAL HOLDINGS INC
PEPSICO INC
PHILIP MORRIS INTL INC
PHILLIPS 66
PNC FINANCIAL SERVICES GROUP
PRICE T ROWE GROUP INC
PROCTER & GAMBLE CO
PROLOGIS INC COM
RAYTHEON TECHNOLOGIES CORP
REPUBLIC SERVICES INC
SALESFORCE.COM INC
SMUCKER J M CO NEW
STARBUCKS CORP
TEXAS INSTRUMENTS
TJX COS INC NEW
UNION PACIFIC CORP



UNITED PARCEL SERVICE INC CL B
UNITEDHEALTH GROUP INC
VANGUARD INFORMATION TECHNOLOGY ETF
VANGUARD SMALL-CAP ETF
VERTEX PHARMACEUTICAL INC
VISA INC CL A
VMWARE INC CL A
VOYA FINL INC COM
WALT DISNEY CO (HOLDING CO) DISNEY COM
WEST PHARMACEUTICAL SERVICES INC
YUM CHINA HLDGS INC
YUM! BRANDS INC
Equity - International
APTIV PLC
CHUBB LTD CHF
DIAGEO PLC NEW GB SPON ADR
LINDE PLC EUR
NXP SEMICONDUCTORS N V COM EUR
Non-Traditional
BELDRE CAPITAL FUND LLC
NEUBERGER BERMAN LONG SHORT FUND CLASS INSTL

Regards,

Laura Lake
Registered Client Associate

The Switow Hall Group
UBS Financial Services Inc.



*This report is provided for informational purposes with your consent. Your UBS Financial Services Inc. ("UBSFS") accounts statements and confirmations are the official record of your holdings, balances, transactions and security values. UBSFS does not provide tax or legal advice. You should consult with your attorney or tax advisor regarding your personal circumstances. Rely only on year-end tax forms when preparing your tax return. Past performance does not guarantee future results and current performance may be lower or higher than past performance data presented. Past performance for periods greater than one year are presented on an annualized basis. **UBS official reports are available upon request.***

As a firm providing wealth management services to clients, UBS Financial Services Inc. offers both investment advisory services and brokerage services. Investment advisory services and brokerage services are separate and distinct, differ in material ways and are governed by different laws and separate arrangements. It is important that clients understand the ways in which we conduct business and that they carefully read the agreements and disclosures that we provide to them about the products or services we offer. For more information visit our website at ubs.com/workingwithus

*The information is based upon the market value of your account(s) as of the close of business on **February 6, 2023**, is subject to daily market fluctuation and in some cases may be rounded for convenience.*

You have discussed the receipt of this report with your Financial Advisor and understand that it is being provided in addition to your firm account statements and confirmations for informational purposes only. If you would like to revoke such consent, and no longer receive this report, please notify your Financial Advisor and/or Branch Manager.